

Office of Thrift Supervision, Treasury

§ 509.1

(b) The Office's final decision shall contain a statement of the basis therefor. The Office may satisfy this requirement where it adopts the recommended decision of the presiding officer upon finding that the recommended decision satisfies the requirements of § 509.38 of this chapter.

(c) The Secretary shall serve upon the petitioner and the representative of the Office of Enforcement a copy of the Office's final decision and the related recommended decision.

[54 FR 49444, Nov. 30, 1989, as amended at 56 FR 38306, Aug. 12, 1991; 59 FR 53570, Oct. 25, 1994]

§ 508.14 Miscellaneous.

The provisions of §§ 509.10, 509.11, and 509.12 of this chapter shall apply to proceedings under this part.

[54 FR 49444, Nov. 30, 1989, as amended at 56 FR 38306, Aug. 12, 1991]

PART 509—RULES OF PRACTICE AND PROCEDURE IN ADJUDICATORY PROCEEDINGS

Subpart A—Uniform Rules of Practice and Procedure

Sec.

- 509.1 Scope.
- 509.2 Rules of construction.
- 509.3 Definitions.
- 509.4 Authority of Director.
- 509.5 Authority of the administrative law judge.
- 509.6 Appearance and practice in adjudicatory proceedings.
- 509.7 Good faith certification.
- 509.8 Conflicts of interest.
- 509.9 Ex parte communications.
- 509.10 Filing of papers.
- 509.11 Service of papers.
- 509.12 Construction of time limits.
- 509.13 Change of time limits.
- 509.14 Witness fees and expenses.
- 509.15 Opportunity for informal settlement.
- 509.16 Office's right to conduct examination.
- 509.17 Collateral attacks on adjudicatory proceeding.
- 509.18 Commencement of proceeding and contents of notice.
- 509.19 Answer.
- 509.20 Amended pleadings.
- 509.21 Failure to appear.
- 509.22 Consolidation and severance of actions.
- 509.23 Motions.
- 509.24 Scope of document discovery.

- 509.25 Request for document discovery from parties.
- 509.26 Document subpoenas to nonparties.
- 509.27 Deposition of witness unavailable for hearing.
- 509.28 Interlocutory review.
- 509.29 Summary disposition.
- 509.30 Partial summary disposition.
- 509.31 Scheduling and prehearing conferences.
- 509.32 Prehearing submissions.
- 509.33 Public hearings.
- 509.34 Hearing subpoenas.
- 509.35 Conduct of hearings.
- 509.36 Evidence.
- 509.37 Post-hearing filings.
- 509.38 Recommended decision and filing of record.
- 509.39 Exceptions to recommended decision.
- 509.40 Review by the Director.
- 509.41 Stays pending judicial review.

Subpart B—Local Rules

- 509.100 Scope.
- 509.101 Appointment of Office of Financial Institution Adjudication.
- 509.102 Discovery.
- 509.103 Civil money penalties.
- 509.104 Additional procedures.

Subpart C—Special Rules

- 509.200 Scope.
- 509.201 Definitions.
- 509.202 Commencement of proceedings and contents of notice.
- 509.203 Answer, consequences of failure to answer, and consent.
- 509.204 Hearing Procedure.

Subpart D—Exemptions under Section 19(e) of the FDIA

- 509.300 Scope.
- 509.301 Hearing procedures.

AUTHORITY: 5 U.S.C. 504, 554–557; 12 U.S.C. 1464, 1467, 1467a, 1468, 1817(j), 1818, 1820(k), 1829(e), 3349, 4717; 15 U.S.C. 78(l), 78o–5, 78u–2; 28 U.S.C. 2461 note; 31 U.S.C. 5321; 42 U.S.C. 4012a.

SOURCE: 56 FR 38306, Aug. 12, 1991, unless otherwise noted.

Subpart A—Uniform Rules of Practice and Procedure

§ 509.1 Scope.

This subpart prescribes Uniform Rules of practice and procedure applicable to adjudicatory proceedings as to which hearings on the record are provided for by the following statutory provisions:

§ 509.2

12 CFR Ch. V (1–12 Edition)

(a) Cease-and-desist proceedings under section 8(b) of the Federal Deposit Insurance Act (FDIA) (12 U.S.C. 1818(b));

(b) Removal and prohibition proceedings under section 8(e) of the FDIA (12 U.S.C. 1818(e));

(c) Change-in-control proceedings under section 7(j)(4) of the FDIA (12 U.S.C. 1817(j)(4)) to determine whether the Office should issue an order to approve or disapprove a person's proposed acquisition of an institution and/or institution holding company;

(d) Proceedings under section 15C(c)(2) of the Securities Exchange Act of 1934 (Exchange Act) (15 U.S.C. 78o–5), to impose sanctions upon any government securities broker or dealer or upon any person associated or seeking to become associated with a government securities broker or dealer for which the Office is the appropriate Office;

(e) Assessment of civil money penalties by the Office against institutions, institution-affiliated parties, and certain other persons for which it is the appropriate Office for any violation of:

(1) Section 5 of the Home Owners' Loan Act (HOLA) or any regulation or order issued thereunder, pursuant to 12 U.S.C. 1464 (d), (s) and (v);

(2) Section 9 of the HOLA or any regulation or order issued thereunder, pursuant to 12 U.S.C. 1467(d);

(3) Section 10 of the HOLA, pursuant to 12 U.S.C. 1467a (i) and (r);

(4) Any provisions of the Change in Bank Control Act, any regulation or order issued thereunder or certain unsafe or unsound practices or breaches of fiduciary duty, pursuant to 12 U.S.C. 1817(j)(16);

(5) Sections 22(h) and 23 of the Federal Reserve Act, or any regulation issued thereunder or certain unsafe or unsound practices or breaches of fiduciary duty, pursuant to 12 U.S.C. 1468;

(6) Certain provisions of the Exchange Act, pursuant to section 21B of the Exchange Act (15 U.S.C. 78u–2);

(7) Section 1120 of Financial Institutions Reform, Recovery and Enforcement Act of 1989 (12 U.S.C. 3349), or any order or regulation issued thereunder;

(8) The terms of any final or temporary order issued or enforceable pur-

suant to section 8 of the FDIA or of any written agreement executed by the Office, the terms of any conditions imposed in writing by the Office in connection with the grant of an application or request, certain unsafe or unsound practices or breaches of fiduciary duty, or any law or regulation not otherwise provided herein pursuant to 12 U.S.C. 1818(i)(2);

(9) Any provision of law referenced in section 102 of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4012a(f)) or any order or regulation issued thereunder; and

(10) Any provision of law referenced in 31 U.S.C. 5321 or any order or regulation issued thereunder;

(f) Remedial action under section 102 of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4012a(g));

(g) Proceedings under section 10(k) of the FDIA (12 U.S.C. 1820(k)) to impose penalties on senior examiners for violation of post-employment prohibitions; and

(h) This subpart also applies to all other adjudications required by statute to be determined on the record after opportunity for an agency hearing, unless otherwise specifically provided for in the Local Rules.

(i) Subpart D of this part governs hearings on denials of applications for case-by-case exemptions under 12 CFR part 585, which implements section 19(e) of the FDIA.

[56 FR 38306, Aug. 12, 1991, as amended at 56 FR 59866, Nov. 26, 1991; 61 FR 20353, May 6, 1996; 70 FR 69641, Nov. 17, 2005; 72 FR 25955, May 8, 2007]

§ 509.2 Rules of construction.

For purposes of this subpart:

(a) Any term in the singular includes the plural, and the plural includes the singular, if such use would be appropriate;

(b) Any use of a masculine, feminine, or neuter gender encompasses all three, if such use would be appropriate;

(c) The term *counsel* includes a non-attorney representative; and

(d) Unless the context requires otherwise, a party's counsel of record, if any, may, on behalf of that party, take any action required to be taken by the party.